

REQUIREMENTS FOR BROKER-DEALER REGISTRATION

I. FILING REQUIREMENTS-CRD

- A. Broker-Dealer applications are filed with CRD, Filing fee of \$250.00 is submitted to the CRD with Form BD.
- B. Agent Registration. NASD members register all agents through the CRD System. The agent filing fee is \$25.00 per agent and is submitted to the CRD With the form U-4.
- C. ALL AMENDMENTS TO FORM BD ARE TO BE FILED WITH CRD.
- D. Branch Offices. The opening, relocation or closing of branch offices is done through The CRD on Schedule E. If there are any branch offices in Indiana, there must be at least one OSJ in Indiana.

II. FILING REQUIREMENTS-STATE

- A. Please complete the attached cover sheet and return it to the Indiana Securities Division along with the requested documents.
- B. **Indiana requires that you register two principals in Indiana.** Principals need to Have passed a principal's exam (i.e. Series 4, 24, 26, 27, 39, 53, 54, or 8 etc.)
- C. Branch Managers. Indiana Branch Managers must pass a principal's examination or The Series 8 exam for General Securities Sales Supervisors.
- D. A copy of the firm's most recent audited financial statement and most recent Focus I Or II. Report must be sent to the Indiana Securities Division along with the attached Cover letter.
- E. A Certificate of Authority of a Foreign Corporation to Transact Business in Indiana is Required **only** if applicant intends to have an agent **living** in the State of Indiana or if It maintains a **branch office in Indiana**. If you have any questions about how to Obtain a Certificate of Authority of Foreign Corporation to Transact Business in Indiana, please call the Business Service Division at (317)232-6576.
- F. Indiana has 30 days to review your completed application for registration before your Registration becomes effective. This 30-day period will not begin until all materials Requested by Indiana are received by Indiana.

REQUIRED EXAMS:

- * **Broker-Dealer Principals and Branch Managers (General):** NASD Series 4, 8 (branch manager only), 24, 27, 53 or 54.
- * **Broker-Dealer Principals and Branch Managers (Restricted) (Firm Restricted to Business in Subject Area of Examination):** NASD Series 26 (Investment Company/Variable Contracts), NASD Series 39 (Direct Participation Programs), NASD Series 4 (Registered Options).
- * **Broker-Dealer Agents (General):** NASD Series 7 and NASD Series 63 or 66.
- * **Broker-Dealer Agents (Restricted):** NASD Series 6 (Investment Company/Variable Contracts), NASD Series 22 (Direct Participation Programs), NASD Series 62 (Corporate Securities), NASD Series Securities, and the NASD Series 63 or 66.

Questions regarding audited financials and FOCUS I and II contact Doreen Fuery, Chief Account and, (317)232-0737. Questions regarding branch offices or exams contact Karen Jackson, Broker-Dealer Registration Deputy, (317)232-6690.

This cover sheet should be completed in full and returned, along with the requested documents, to the Indiana Securities Division so that your firm's broker-dealer application may be processed. Please type All information.

1. Name of Firm _____
Contact Person _____
Address of firm _____

Telephone # () _____ Fax #() _____

CRD Number of firm _____

Have you filed with the CRD to request registration in Indiana? _____

Have you filed with the CRD to request registration in Indiana for all agents you wish to register in Indiana? _____

2. Name of first principal _____
CRD number of first principal _____

Name of second principal _____
CRD of second principal _____

3. Does firm intend on having a branch office or agent living in Indiana? Yes ___ No ___ If so, please Attach a copy of the Certificate of Authority of a Foreign Corporation to Transact Business in Indiana.
4. What is the firm's fiscal year end? _____

PLEASE ATTACH THE FOLLOWING DOCUMENTS TO THIS COVER SHEET AND RETURN TO THE INDIANA SECURITIES DIVISION:

- **The firm's most recent audited financial statement.**
- **The firm's most recent FOCUS Report.**
- **If the firm's most recent FOCUS Report and Audited Financials are over 60 days old, please include an unaudited balance sheet.**
- **If the firm intends on having a branch office or agent living in Indiana, please attach a copy of the Certificate of Authority of a Foreign Corporation to Transact Business in Indiana.**

INDIANA BROKER-DEALER COVER SHEET